

RECEIVED

FEB 04 2002

Technology Center 2100

2164  
#3



Rev. 11/00

Attorney Docket No. CF/040

Applicants : Andrew C. Gilbert et al.

Application No.: 09/981,565 Confirmation No.: 7706

Filed : October 17, 2001

For : SYSTEMS AND METHODS FOR BID/OFFER SPREAD  
TRADING

Group Art Unit : 2164

New York, New York 10020  
January 11, 2002

Hon. Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure  
Statement in the above-identified application. This Statement is  
submitted:

- [X] within three months of the application filing date;
- [ ] more than three months from the application filing  
date but before the mailing date of the first  
Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this  
Statement requires no fee. However, if for any reason a fee is  
due, the Director is hereby authorized to charge payment of any  
fees required in connection with this Information Disclosure

Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

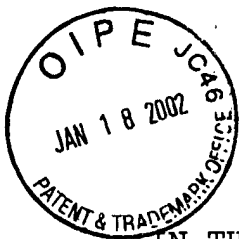
Respectfully submitted,

Evelyn C. Mak  
Evelyn C. Mak  
Registration No. P-50,492  
Agent for Applicants  
FISH & NEAVE  
1251 Avenue of the Americas  
New York, New York 10020-1105  
Tel.: (212) 596-9000

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS P.O. Box 2327  
ARLINGTON, VA 22202 on

January 11, 2002  
Lillian Garcia

Lillian Garcia  
Signature of Person Signing



CF/040

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew C. Gilbert et al.  
Application No.: 09/981,565 Confirmation No.: 7706  
Filed : October 17, 2001  
For : SYSTEMS AND METHODS FOR BID/OFFER SPREAD  
TRADING  
Group Art Unit : 2164

New York, New York 10020  
January 11, 2002

Hon. Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following documents:

U.S. Patent Documents

Adams et al.	3,573,747	04/06/71
Nymeyer	3,581,072	05/25/71
Lupien et al.	5,101,353	03/31/92
Potter et al.	5,787,402	07/28/98
Huberman	5,826,244	10/20/98

PCT Published Applications

PCT	WO 00/11589	03/02/00
PCT	WO 00/39719	07/06/00
PCT	WO 00/39732	07/06/00

These documents are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

Applicants have not yet received an Office Action on the merits, therefore, pursuant to 37 C.F.R. § 1.97(b)(3), it is believed that no fee is required in connection with this Information Disclosure Statement.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,

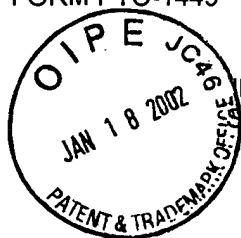
Evelyn C. Mak  
Evelyn C. Mak  
Registration No. P-50,492  
Agent for Applicants  
FISH & NEAVE  
1251 Avenue of the Americas  
New York, New York 10020-1105  
Tel.: (212) 596-9000

I Hereby Certify that this  
Correspondence is being  
Deposited with the U.S.  
Postal Service as First  
Class Mail in an Envelope  
Addressed to:  
COMMISSIONER FOR  
PATENTS P.O. Box 2327  
ARLINGTON, VA 22202 on

January 11, 2002  
Lillian Garcia

Lillian Garcia  
Signature of Person Signing

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CF/040APPLICATION  
NO.  
09/981,565INFORMATION DISCLOSURE  
STATEMENT BY APPLICANTSAPPLICANTS  
Andrew C. Gilbert et al.CONFIRMATION  
NO.  
7706FILING DATE  
October 17, 2001GROUP  
2164

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,573,747	04/06/71	Adams et al.	340	172.5	
	3,581,072	05/25/71	Nymeyer	235	152	
	5,101,353	03/31/92	Lupien et al.	364	408	
	5,787,402	07/28/98	Potter et al.	705	37	
	5,826,244	10/20/98	Huberman	705	37	

## PCT PUBLISHED APPLICATIONS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
✓	WO 00/11589	03/02/00	PCT	G06F	17/60		
✓	WO 00/39719	07/06/00	PCT	G06F	17/60		
✓	WO 00/39732	07/06/00	PCT	G06F	17/60		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.